BERKELEY: OFFICE OF THE DEAN
COLLEGE OF LETTERS AND SCIENCE

May 24, 1976

NH

STRICTLY CONFIDENTIAL

Chairman Geoffrey Chew
Department of Physics
366 LeConte Hall
Campus

Dear Chairman Chew:

I am sorry to tell you that the proposed merit increase for Charles L. Schwartz to Professor III effective July 1, 1976 has not been approved. Dr. Schwartz is a good undergraduate classroon teacher and a successful PhD director. Reviewers and I do not, however, believe that his work since 1970 can be considered scholarship in Physics. Although every department gives its faculty wide latitude in choosing an area for research, this latitude is not infinite. If Professor Schwartz were doing scholarly work in a field unrelated to physics, this work should not and could not be used as the basis for a merit increase in the Physics Department. His contributions in all other areas are sufficiently satisfactory that, should he produce first-rate research in physics as he has done in the past, advancement would seem assured.

Reviewers and I stronly feel that he should be given every encouragement to participate in Department affairs so that he can develop a well-rounded record.

An ad hoc committee was not appointed to review this case as you recommended. Reviewers felt such review would be pointless since Dr. Schwartz' work since 1970 does not qualify as scholarship in physics. In addition, reviewers did not agree that Dr. Schwartz would be impressed if such a committee made a negative decision. If he is as alienated as it appears, then it is merely speculation to assume that Dr. Schwartz would be satisfied by the negative judgment of a committee whose membership is unknown to him.

Sincerely,

Calvin C. Moore
Dean of Physical Sciences

CCM:wk
cc: Provost Park

Appointment and Advancement

The University has a complex and thorough review procedure to maintain and build its excellent faculty. This review mechanism is designed to insure that an individual is judged by his or her colleagues in accordance with fair procedures solely on the basis of professional qualifications in matters of appointment, promotion, and salary increases.

Personnel Actions for Appointment and Advancement
Various personnel actions reflect the progress of a faculty career. In the professor series, **appointment** is generally at the rank of Assistant Professor, but may also be made at the tenured Associate Professor or Professor ranks. **Merit increase** reflects advancement through the steps (and salary levels) of a particular rank. **Appraisal** constitutes an evaluation of an Assistant Professor to provide advice and guidance prior to a tenure decision. The appraisal normally occurs between the third and fifth year of service. **Promotion** marks advancement from one academic rank to another. In the regular professorial series, promotion from Assistant Professor to Associate Professor confers tenure.

Criteria for Appointment and Advancement
Candidates in the regular professor series and the Professor in Residence series are evaluated on:

1. Teaching
2. Research and creative work
3. Professional competence and activity
4. University and public service

For a descriptive statement of each of these criteria see Academic Personnel Manual 210-1—Instructions to Review Committees.* For discussion of teaching and research responsibilities see those sections of this *Handbook*.

Affirmative Action Policies Regarding Appointment and Advancement
The University initiates and maintains comprehensive affirmative action personnel policies and programs. These are designed to ensure equal opportunity for racial and ethnic minorities and for women, historically underrepresented in the University, and to encourage their appointment and advancement. Recruitment procedures are designed to obtain a pool of highly qualified applicants which includes women and minorities in numbers reflecting their availability in the academic workforce. The review mechanism is designed to ensure that individuals are judged by their colleagues in accordance with fair procedures in all personnel matters. Selection or denial of appointment, promotion, or merit increase shall not be based on ethnic background or gender. However, in selecting from among candidates who are substantially equally qualified for a particular position, the appointing authority is to be mindful of affirmative action goals to correct the underrepresentation of minorities and women.

Review Procedures

Personnel actions for merit, promotion and appraisal normally begin in the department. The department chair, in consultation with each candidate, assembles a review file, which, after departmental discussion and voting, is sent to the Dean or other appropriate administrative officer.

In cases of promotion the file goes next to an ad hoc review committee, which is appointed by the Chancellor or designee, from nominations provided by the Senate Committee on Academic Personnel. The majority of the ad hoc committee membership comes from outside the home department and the membership of this committee is kept confidential.

The ad hoc committee reviews the case and, normally, its recommendation is sent to the Committee on Academic Personnel (CAP). CAP, which is known as the Budget Committee on some campuses, reviews the complete case, including all recommendations and documentation, and evaluates it in view of campuswide standards. Ad hoc committees are not normally used for appointments to Assistant Professor tenure track positions or for merit increases. CAP normally provides the peer review. A recommendation goes from this committee to the Chancellor or Vice Chancellor for a decision.

If the Chancellor makes a tentative decision in the case of an appointment, reappointment, formal appraisal, non-reappointment, or promotion of an individual in the Professor series which is contrary to recommendations of the Dean or Provost, the department chair, or the Committee on Academic Personnel, the Chancellor informs that reviewer, stating the reasons and asking for further information which might support a contrary decision. After additional information is furnished, CAP and the Dean or Provost are given the opportunity to comment on the augmented file before the Chancellor makes the final decision.

Procedural Safeguards

Confidentiality

The membership, deliberations, recommendations, and report of review committees, as well as departmental recommendations, are confidential. Letters of evaluation and the recommendation by the Department Chair and other administrative officers likewise are confidential. (APM 160-20-b)*

Access to the Academic Review Record

A faculty member may inspect all documents in his or her personnel review record except those which are confidential. He or she is entitled, upon request, to an oral or written summary of the substance of all confidential material. (APM 160-20-c)

See APM 158,* 160,* and the Appendix of 160* for policies on access to records and a fuller description of procedural safeguards.

Tenure

Appointments to the positions of Associate Professor and Professor are continuous in tenure until terminated by retirement, demotion, or dismissal. A tenured appointment will not be terminated except for good cause, and after the opportunity for a hearing before a properly constituted advisory committee of the Academic Senate. (Regents' Standing Order 103.9)*

Titles with Tenure

In addition to Associate Professor and Professor, the following titles carry tenure: Associate Astronomer and Astronomer; Associate Agronomist and Agronomist; Associate Supervisor and Supervisor of Physical Education; and Associate Clinical Professor and Clinical Professor of Dentistry at 50% or more time.

Part-time Appointments

Under appropriate circumstances, the Chancellor may authorize part-time tenured appointments. (APM 220-16-d) A track to Security of Employment similar to the Professor series exists for certain lecturer titles.

Security of Employment

An appointment with Security of Employment will not be terminated except for good cause, and after the opportunity for a hearing before a properly constituted advisory committee of the Academic Senate. (Standing Order 103.10)

Career Development

Career development opportunities are available to all ladder rank faculty members. Particular programs are available to minority and women junior faculty to assist them in advancing in their careers and to increase their representation in the tenured ranks. A description of affirmative action programs appears later in this *Handbook*.